

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		10825084	
	Filing Date		2004-04-15	
	First Named Inventor	Jeffery R. Raymond		
	Art Unit	1617		
	Examiner Name	Barbara P. Badio		
Attorney Docket Number		480117.412		

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	1	JP 1-290624	JP	A	1989-11-22	Oshida		<input type="checkbox"/>
	2	JP 5-221901	JP	A	1993-08-31	Niwa		<input type="checkbox"/>

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	1	Abstract (in English) of JP1290624, esp@cenet database, November 22, 1989.	<input type="checkbox"/>
	2	Abstract (in English) of JP5221901, esp@cenet database, August 31, 1993.	<input type="checkbox"/>
	3	BUCKINGHAM et al., "6-Phenylazocholestane derivatives: Reassignment of the Structures of Products from Phenylhydrazine and Ozonised Cholesterol Derivatives," J. Chem. Soc. (C): 1703-1706, 1967.	<input type="checkbox"/>
	4	COOKSON et al., "Photochemical Rearrangement of alpha-Hydroxy-ketones to Lactones," J. Chem. Soc. (C) : 2494-2500, 1968.	<input type="checkbox"/>
	5	GUMULKA et al., "Oxidative Cleavage of the Double Bond of 7-Dehydrocholesterol Acetate Peroxide," Polish Journal of Chemistry 57: 403-411, 1983.	<input type="checkbox"/>
	6	SPECKAMP et al., "6-Thiasteroids A Novel Stereoselective Preparation of 6-Heterosteroids," Tetrahedron Letters 38: 3405-3408, 1974.	<input type="checkbox"/>

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

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STATEMENT BY APPLICANT**
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Filing Date	2004-04-15
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Attorney Docket Number	480117.412

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

- ☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

- ☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- ☒ See attached certification statement.
- ☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- ☐ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Carol J. Roth/	Date (YYYY-MM-DD)	2007-07-05
Name/Print	Carol J. Roth	Registration Number	32,783

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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The information provided by you in this form will be subject to the following routine uses:

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5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Jeffery R. Raymond et al.
Application No. : 10/825,084
Filed : April 15, 2004
For : INDENE DERIVATIVES AS PHARMACEUTICAL AGENTS
Examiner : Barbara P. Badio
Art Unit : 1617
Docket No. : 480117.412
Date : July 5, 2007

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SECOND SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Commissioner for Patents:

In accordance with 37 CFR 1.56 and 1.97 through 1.98, applicants wish to make known to the U.S. Patent and Trademark Office the references set forth on the attached Second Supplemental Information Disclosure Statement. Copies of cited U.S. patents and published patent applications are not required and accordingly have not been provided. Copies of any other cited references are enclosed. As to any reference cited, applicants do not admit that it is “prior art” under 35 U.S.C. §§ 102 or 103, and specifically reserve the right to traverse or antedate any such reference, as by a showing under 37 CFR 1.131 or other method. Although the aforesaid references are made known to the Patent and Trademark Office in compliance with applicants’ duty to disclose all information they are aware of which is believed relevant to the examination of the above-identified application, applicants believe that their invention is patentable.

We hereby certify that each item of information contained in the attached Second Supplemental Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Second Supplemental Information Disclosure Statement.

Please acknowledge receipt of this Second Supplemental Information Disclosure Statement and kindly make the cited references of record in the above-identified application.

Applicants believe this Second Supplemental Information Disclosure Statement has been timely filed, however, the Director is authorized to charge any fee due by way of this Second Supplemental Information Disclosure Statement to our Deposit Account No. 19-1090.

Respectfully submitted,
Seed Intellectual Property Law Group PLLC

/Carol J. Roth/
Carol J. Roth
Registration No. 32,783

CJR:cw

Enclosures:

Second Supplemental Information Disclosure Statement
Cited References (8)

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